

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, ON THE DATE INDICATED BELOW.

BY: Gladys Morales Date: March 3, 2005

MAIL STOP AMENDMENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re:	Patent Application of Steven A. Bove et al.	: Group Art Unit: 3624 : : :
Appln. No.:	09/328,626	: Examiner: D. Felten : :
Filed:	June 9, 1999	: : :
For:	SYSTEM AND METHOD FOR AUTOMATING INVESTMENT PLANNING	: Attorney Docket : No. 245-111 :

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)

1. The Supplemental Information Disclosure Statement (IDS) transmitted herewith is being filed after the mailing date of the first Office Action on the merits, but before the mailing date of either a final action under § 1.113 or a notice of allowance under § 1.311.
2. Accompanying this transmittal is a certification as specified in 37 CFR 1.97(e).

Certification Under 37 C.F.R. § 1.97(e)

I hereby certify that no item of information in the Supplemental IDS filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Supplemental IDS. 37 CFR 1.97(e)(2).

The cited patent reference is listed as a priority document for U.S. Patent No. 6,430,542 (Moran) and first became known to Applicants upon review of the Office Action dated January 27, 2005. The enclosed non-patent reference, iRebal, was recently discovered by Applicants. Applicants have no knowledge regarding the release date of iRebal. Applicants have no knowledge that iRebal constitutes prior art. The enclosed Bruckenstein article describing iRebal implies that it was only recently released.

3. It is requested that the enclosed reference listed on the attached Form PTO/SB/08A be considered by the Patent Examiner in connection with the above-identified application and be made of record therein, and that the listed document be cited in the issued patent.

4. In accordance with the Official PTO waiver, a copy of the U.S. patent listed on the Form PTO/SB/08A is not attached. The official waiver withdraws the requirement under 37 C.F.R. § 1.98(a)(2)(i) for submitting copies of each listed U.S. patent and application for applications filed after June 30, 2003. A copy of the listed U.S. patent will be provided upon request.

5. The filing of this Information Disclosure Statement shall not be construed as an admission that the listed document constitutes prior art, nor as an admission against interest in any manner.

6. No fee is believed to be due in connection with the filing of this Information Disclosure Statement. However, the Commissioner is hereby authorized to charge any deficiencies or credit any overpayments to Deposit Account No. 50-1017.

Respectfully submitted,

STEVEN A. BOVE et al.

March 3, 2005
(Date)

By: _____

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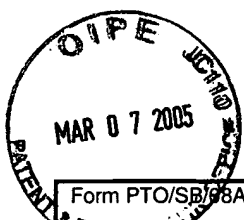
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Form PTO/SB/98A		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/328,626
		Filing Date	June 9, 1999
		First Named Inventor	Steven A. Bove
		Group Art Unit	3624
		Examiner Name	Daniel S. Felten
Sheet	1	of	1
		Attorney Docket Number	245-111

U.S. PATENT DOCUMENTS				
Exr Initials	U.S. Patent Document		Name of Inventor or Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY
	Number	Kind Code (if known)		
	5,819,263		Bromley et al.	10-1998

FOREIGN PATENT DOCUMENTS					
Exr Initials	Foreign Patent Document			Name of Inventor or Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY
	Country Code	Number	Kind Code (if known)		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS		
Exr Initials	Include Name of Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ₁
	iRebal – Intelligent Balancer, printouts from beyondmontecarlo.com web site, Copyright © 2004-2007, printout date: January 26, 2005, software release date is unknown, 7 pages.	
	Joel Bruckenstein, "First Look: iRebal – "The Intelligent Rebalancer," printout from Financial Advisor Magazine web site: http://www.fa-mag.com/past_issues.php?id_content=3&idArticle=865&idPastIssue=92 , printout date: March 2, 2005, 2 pages.	

Examiner Signature		Date Considered	
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